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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/894,049	
	Filing Date	June 28, 2001	
	First Named Inventor	Farnaz PARHAMI	
	Group Art Unit	2874	
	Examiner Name	To Be Assigned	
Total Number Of Pages In This Submission	7	Attorney Docket No.	373722002900 (Client Ref. A039)

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
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<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
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<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	3. Two (2) return receipt postcards
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT	
Firm or Individual Name	Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018
Signature	Johney U. Han (Registration No. 45,565)
Date	October 13, 2001

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on October 12, 2001.	
Patricia Ellison	

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PATENT
Docket No. 373722002900
Client Ref. A039

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Patricia Ellison
Patricia Ellison

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Farnaz PARHAMI et al.

Serial No.: 09/894,049

Filing Date: June 28, 2001

For: METHOD AND APPARATUS FOR
CONTROLLING WAVEGUIDE
BIREFRINGENCE BY SELECTION OF
A WAVEGUIDE CORE WIDTH FOR A
TOP CLAD

Examiner: To Be Assigned

Group Art Unit: 2874

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COMMUNICATION

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Submitted herewith is a copy of the Assignment stamped as "copy" and as previously filed on June 28, 2001 attached to the Certificate Under 37 C.F.R. § 3.73(b)

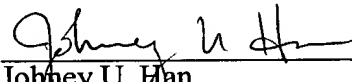
It appears that this document was separated from the previously filed Certificate Under 37 C.F.R. § 3.73(b) and forwarded onto the Assignment Branch by the Patent Office. It was returned to Applicants attached to the Notice of Recordation packet mailed by the Patent Office dated September 15, 2001 and is submitted herewith to ensure receipt.

Applicants respectfully request that this document be re-attached to the Certificate Under 37 C.F.R. § 3.73(b) and entered into record for the above-identified application.

Applicants believe no fee is due. In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing docket no. 373722002900. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Respectfully submitted,

Dated: October 2, 2001

By: 
Johny U. Han
Registration No. 45,565

Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018
Telephone: (650) 813-5786
Facsimile: (650) 494-0792

ASSIGNMENT
JOINT

COPY

THIS ASSIGNMENT, by Farnaz PARHAMI, Liang ZHAO and Fan ZHONG (hereinafter referred to as the assignors), residing at 54 Calle Amigo Drive, Fremont, CA 94539, 4300 The Woods Drive #525, San Jose, CA 95136 and 37497 Summer Holly Common, Fremont, CA 94536; respectively, witnesseth:

WHEREAS, said assignors have invented certain new and useful improvements in METHOD AND APPARATUS FOR CONTROLLING WAVEGUIDE BIREFRINGENCE BY SELECTION OF A WAVEGUIDE CORE WIDTH FOR A TOP CLAD, set forth in an application for Letters Patent of the United States, having an oath or declaration executed on even date herewith; and

WHEREAS, Lightwave Microsystems Corporation, a corporation duly organized under and pursuant to the laws of Delaware and having its principal place of business at 2911 Zanker Road, San Jose, California 95134 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said inventions and said application for Letters Patent of the United States, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon:

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto said assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee, for its own use and the use of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the sole and lawful owners of the entire right, title and interest in and to said inventions and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said inventions, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said inventions in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be

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obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful steps, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said inventions, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said inventions and the Letters Patent to be issued thereon for the sole use of said assignee, its successors, legal representatives and assigns.

6/27/01 Farnaz Parhami
Date Farnaz PARHAMI

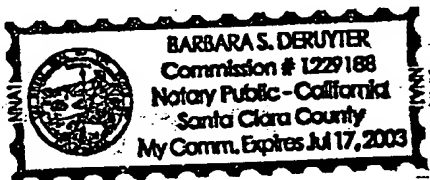
State of California)
County of Santa Clara)ss.

On June 27, 2001, before me, Barbara S. deRuyter, Notary Public
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared Farnaz PARHAMI
Name(s) of Signer(s)

- ☒ personally known to me
☐ proved to me on the basis of satisfactory evidence

to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



Place Notary Seal Above

WITNESS my hand and official seal.

Barbara S. deRuyter
Signature of Notary Public

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06/27/01

Date

Liang Zhao
Liang ZHAO

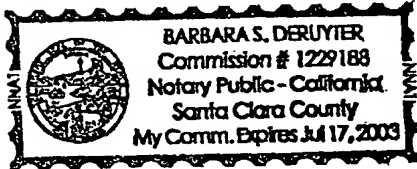
State of California)
County of Santa Clara)ss.

On June 27, 2001, before me, Barbara S. deRuyter, Notary Public,
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared Liang ZHAO,
Name(s) of Signer(s)

- ☒ personally known to me
☐ proved to me on the basis of satisfactory evidence

to be the person(s) whose name(s) is/are subscribed to
the within instrument and acknowledged to me that
he/she/they executed the same in his/her/their
authorized capacity(ies), and that by his/her/their
signature(s) on the instrument the person(s), or the
entity upon behalf of which the person(s) acted,
executed the instrument.



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WITNESS my hand and official seal.

Barbara S. deRuyter
Signature of Notary Public

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6/27/01
Date

Fan Zhong
Fan ZHONG

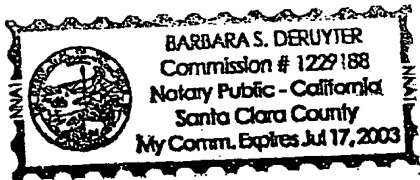
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County of Santa Clara)ss.

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Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

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Name(s) of Signer(s)

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Barbara S. deRuyter
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